

05-17-02

CPA/2800

Approved for use through 10/31/2002. OMB 0651-0032  
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**CONTINUED PROSECUTION APPLICATION (CPA)**  
**REQUEST TRANSMITTAL**  
Submit an original, and a duplicate for fee processing.  
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable:  
☐ DUPLICATE

Address to: <b>Assistant Commissioner for Patents</b> <b>Box CPA</b> <b>Washington, DC 20231</b>	Attorney Docket No. of Prior Application	NEXTEK Lighting CPA2
	First Named Inventor	William George Wilhelm
	Examiner Name	F. Fleming
	Group Art Unit	2836
	Express Mail Label No.	EV08966134205

This is a request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d), (continued prosecution application (CPA)) of prior application number 08, 820, 496, filed on March 19, 1997, entitled HIGH EFFICIENCY LIGHTING SYSTEM.

**NOTES**

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

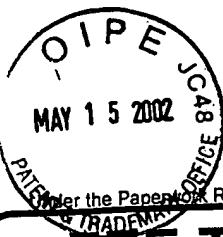
**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

- ☐ Enter the unentered amendment previously filed on \_\_\_\_\_ under 37 CFR 1.116 in the prior nonprovisional application.
- ☒ A preliminary amendment is enclosed.
- This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4):
  - ☐ **DELETE** the following inventor(s) named in the prior nonprovisional application:  
\_\_\_\_\_
  - ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
- ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
- Information Disclosure Statement (IDS) is enclosed:
  - ☒ PTO-1449
  - ☒ Copies of IDS Citations

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PTO/SB/17 (10-01)  
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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 425

## Complete if Known

Application Number	08/820,496 CPA
Filing Date	March 19, 1997
First Named Inventor	William George Wilhelm
Examiner Name	F. Fleming
Group Art Unit	2836
Attorney Docket No.	Nextek-Lighting-CPA2

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 23-0120
- Deposit Account Name: Alfred M. Walker
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 \$ 55
- ☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

\$ 370 FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$ ) 370

### 2. EXTRA CLAIM FEES

Total Claims: 9 -20\*\* = 0 X Fee from below = 0

Independent Claims: 1 -3\*\* = 0 X Fee from below = 0

Multiple Dependent: 0 -3\*\* = 0 X Fee from below = 0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	55
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 55

## SUBMITTED BY

Name (Print/Type) Alfred M. Walker

Signature

Registration No. (Attorney/Agent)

29,983

## Complete (if applicable)

Telephone 631 361-8737

Date May 15, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
TOTAL CLAIMS (37 CFR 1.16(c) or (j))	9	-20* =	0	x \$ _____ =	\$ 0
INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	1	-3** =	0	x \$ _____ =	0
MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))				+ \$ _____ =	0
				BASIC FEE (37 CFR 1.16)	740.
				Total of above Calculations =	740
Reduction by 50% for filing by small entity (Note 37 CFR 1.27).					370
* Reissue claims in excess of 20 and over original patent. ** Reissue independent claims over original patent.				TOTAL =	370

6. ☒ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 23-0120:a. ☒ Fees required under 37 CFR 1.16.b. ☒ Fees required under 37 CFR 1.17.c. ☒ Fees required under 37 CFR 1.18.

Please use Deposit Account

8. ☒ A check in the amount of \$ 370 is enclosed, for a one month extension.9. ☐ Payment by credit card. Form PTO-2038 is attached.10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of \_\_\_\_\_ months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.11. ☐ New Attorney Docket Number, if desired NEXTEK - Lighting - CPA-2*[Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.]*12. a. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)b. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)13. ☐ Other: \_\_\_\_\_**NOTE:****The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.****14. NEW CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

04988

(Insert Customer No. or Attach bar code label here)

or ☐ New correspondence address below

Name					
Address					
City	State	Zip Code			
Country	Telephone	Fax			

**15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

Name (Print /Type)

Alfred M. Walker

Signature

Registration No. (Attorney/Agent)

29,983

Date


May 15, 2002



CERTIFICATE OF MAILING

I hereby certify that the attached correspondence is  
being deposited with the United States Postal Service as  
Express Mail No. *EV 089661342 US* addressed to:  
Commissioner of Patents  
Washington, D.C. 20231,

On May 15, 2002

  
\_\_\_\_\_  
Alfred Walker

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: William G. Wilhelm  
SERIAL NO.: 08/820,496 (CPA)  
FILED: March 19, 1997  
EXAMINER: F. Fleming  
GROUP ART UNIT: 2836  
MAILING DATE OF ACTION: May 8, 2001  
TITLE: HIGH EFFICIENCY LIGHTING SYSTEM

*Handwritten:* #39H  
5/24/02

PRELIMINARY AMENDMENT

Commissioner of Patents  
Box CPA  
Washington DC 20231

Dear Sir:

As a Preliminary Amendment in conjunction with the filing of a Continued Prosecution Application (CPA), in response to the Final Office Action dated January 15, 2002, Applicant amends the application as follows:

Please extend the time to respond from April 15, 2002 to May 15, 2002. A check in the sum of \$55.00 is enclosed.

IN THE CLAIMS:

Please amend Claims 49-54 and 56 as shown.

A Marked up version showing changes is as follows:

The PTO did not receive the following listed item(s) *check # 55 but*  
*check # 370.*

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